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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/967,272	09/28/2001	Carlton Bartels	CF-55

1473  
FISH & NEAVE  
1251 AVENUE OF THE AMERICAS  
50TH FLOOR  
NEW YORK, NY 10020-1105

CONFIRMATION NO. 6788

## FORMALITIES LETTER



\*OC000000006998521\*

Date Mailed: 10/30/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

01/14/2002 BNGUYEN1 00000044 061075 09697272

01 FC:105 130.00 CH

Void date: 01/14/2002 BNGUYEN1

01/14/2002 BNGUYEN1 00000044 061075 09697272

01 FC:105 130.00 CR

Adjustment date: 05/04/2002 SSALEEKU

01/14/2002 BNGUYEN1 00000057 061075 09697272

01 FC:105 130.00 CR

*Handwritten signature*

Customer Service Center

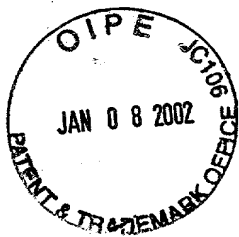
01/14/2002 BNGUYEN1 00000057 061075 09697272

01 FC:105 130.00 CH

A copy of this notice **MUST** be returned with the reply.

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



#7

CF-55

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Carlton Bartels et al.  
Application No.: 09/967,272 Confirmation No.: 6788  
Filed : September 28, 2001  
For : ELECTRONIC TRADING SYSTEM FOR  
SIMULATING THE TRADING OF CARBON  
DIOXIDE EQUIVALENT EMISSION  
REDUCTIONS AND METHODS OF USE  
Group Art Unit : 2164  
Examiner : Not yet assigned

New York, New York 10020  
December 28, 2001

Box Missing Parts  
Commissioner for Patents  
P.O. Box 2327  
Arlington, Virginia 22202

PARTIAL RESPONSE TO NOTICE TO FILE MISSING PARTS

Sir:

Responsive to the Notice to File Missing Parts  
of Nonprovisional Application mailed October 30, 2001,  
applicants hereby submit the following:

1. A copy of the October 30, 2001 Notice to  
File Missing Parts of Nonprovisional  
Application;
2. A Submission of Formal Drawings; and
3. Formal drawings (37 sheets).

This Partial Response includes only a portion  
of the items requested by the October 30, 2001 Notice to  
File Missing Parts. Specifically, this Partial Response

does not include an executed Declaration and Power of Attorney and the corresponding surcharge of \$130.00. Due to the death of the two joint inventors, Carlton Bartels and Adam White, in the World Trade Center tragedy of September 11, 2001, the Declaration must be executed by the legal representatives of the inventors' estates. The undersigned is in the process of contacting the legal representatives of the inventors' estates for execution of the Declaration.

Please authorize the Director of the U.S. Patent and Trademark Office to credit any overpayment or charge any deficiencies in connection with this Response to Deposit Account No. 06-1075. A duplicate copy of this paper is enclosed herewith.

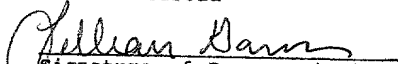
Respectfully submitted,

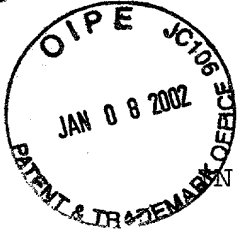


Laura A. Sheridan  
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ARLINGTON, VA 22202 on

December 28, 2001  
Lillian Garcia

  
Signature of Person Signing



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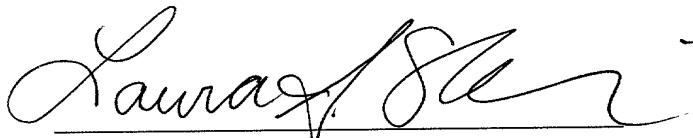
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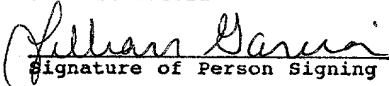


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Group Art Unit : 2164  
Examiner : Not yet assigned

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P.O. Box 2327  
Arlington, Virginia 22202

SUBMISSION OF FORMAL DRAWINGS

Sir:

Please substitute the enclosed formal drawings  
for the informal drawings originally filed with this  
application.

Respectfully submitted,

Laura A. Sheridan  
Registration No. 48,446  
Agent for Applicants  
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New York, New York 10020-1105  
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